

**DEPARTMENT OF TOXIC SUBSTANCES CONTROL
HAZARDOUS WASTE MANAGEMENT PROGRAM
POLICY AND PROCEDURE**

POLICY AND PROCEDURE: EO-02-006-PP (Supersedes EO-93-004-PP)

TITLE: Conducting Inspections

**AFFECTED PROGRAMS: Hazardous Waste Management Program,
Office of Legal Counsel and Investigations, Administrative Services,
and Office of External Affairs**

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I. PURPOSE

The Department of Toxic Substances Control (DTSC) regulates the generation, transportation, treatment, storage, and disposal of hazardous wastes. DTSC monitors compliance with State and federal hazardous waste requirements by conducting inspections. This document sets forth DTSC's policy and procedure for conducting inspections and preparing inspection reports in an appropriate, consistent and effective manner.

DTSC facilitates compliance by making inspection guidance, [inspection checklists](#), policies, fact sheets, regulatory interpretations, and information about California Compliance School available to regulated entities and other interested parties. Inspectors also discuss compliance requirements with regulated entities during the inspection process. The objective of DTSC's compliance assistance efforts is to ensure that regulated entities have access to information needed to meet regulatory requirements and to address compliance issues in the shortest time possible.

II. AUTHORITY

California Health and Safety Code section 25185 authorizes DTSC to conduct inspections, conduct sampling activities, inspect and copy documents, and take photographs at sites or establishments where hazardous wastes are stored, handled, processed, treated, or disposed.

III. POLICY

It is the policy of DTSC that its inspectors will conduct inspections and write inspection reports in accordance with this document.

The lead inspector and his or her supervisor will determine the appropriate number of inspectors needed per inspection based on factors such as safety, complexity, need for sampling, or other site-specific circumstances.

The inspector is responsible for identifying and documenting all violations at a facility during the inspection. It is important to document all violations observed, including those corrected at the time of the inspection, to support future compliance and enforcement actions. If violations are serious, DTSC will initiate appropriate enforcement action in accordance with the DTSC's Enforcement Response Policy, [EO-02-003-PP](#). To the extent possible, facilities that are issued a Summary of Violations (SOV) should be re-inspected to verify compliance. Branch Chiefs should determine and prioritize which facilities will be re-inspected by considering factors such as, but not limited to, recalcitrance, compliance history, and the number and nature of violations cited.

IV. RELATIONSHIP TO OTHER POLICIES

This document replaces Procedures for Inspection Preparation, OPP EO-93-004-PP. Environmental monitoring inspections such as comprehensive groundwater monitoring evaluation and operation and maintenance inspections are addressed in the Operation and Maintenance Inspection Guide [Resource Conservation and Recovery Act (RCRA) Ground-Water Monitoring Systems], dated March 1988. Complaint investigations are addressed in the Hazardous Waste Complaint Policy and Procedure, [EO-02-007-PP](#).

V. ROLES AND RESPONSIBILITIES

- Inspector - Completes and submits a Hazard Appraisal Recognition Plan (HARP) Pre-Site Visit Form to supervisor and DTSC's Industrial Hygiene and Field Support Staff Section (IHFSS) for approval prior to each inspection. After each inspection, completes and submits a Hazard Appraisal and Recognition Plan Daily Site Visit Document (Post-HARP) to supervisor and IHFSS. Prepares for inspections, conducts inspections, completes the SOV or the Summary of Observations (SOO) if no violations are observed, completes inspection reports, recommends appropriate enforcement action, and completes and submits data entry forms.
- Supervisor - Ensures that inspectors receive required training and equipment prior to conducting inspections. Assigns inspections to inspectors. Reviews and approves a HARP form prior to each inspection, and reviews a Post-HARP after each inspection. Reviews each inspection report and signs the cover letter for each inspection report. Coordinates with inspectors to ensure that all work associated with an inspection is done in a timely and effective manner.
- Branch Chief - Coordinates the development and implementation of the annual work plan and inspection schedule.
- Office of Legal Counsel and Investigations - Provides legal guidance and clarification on issues that may result from the inspection process.
- Criminal Investigations Branch - Investigates alleged criminal violations of the Hazardous Waste Control Law, and assists inspectors with the development and issuance of inspection warrants.
- Industrial Hygiene and Field Support Section - Reviews and approves HARP forms; reviews each Post-HARP form; provides health and safety equipment and guidance to inspectors; and monitors sampling activities as needed.
- Support Staff - Formats inspection documents, makes copies, disseminates copies, files documents, and performs data entry.

VI. TYPE OF INSPECTION

A. Compliance Evaluation Inspection (CEI)

This type of inspection is rigorous and checks all aspects of a facility's hazardous waste operations for compliance with all applicable regulatory requirements.

B. Limited Inspection

This type of inspection is designed to look at one or a few aspects of a facility's operation. Limited inspections include, but are not limited to, the following:

- Re-inspections to verify compliance with a previously issued SOV;
- Inspections such as enhanced surveillance inspections that focus on a specific problem area such as transportation, manifesting, inadequate financial assurance documents, or other discrete subjects;
- Inspections conducted in response to a specific event such as an earthquake or other disaster;
- Generator inspections; and
- Transporter inspections

VII. PROCEDURES

The following discussion applies primarily to CEIs. Specific aspects of the following discussion may also apply to limited inspections depending on the scope of the activity under the limited inspection.

A. Preparation for an Inspection

Generally, inspectors should not notify facilities of planned inspections. Adequate preparation prior to an inspection is essential to conducting a safe, effective, and efficient inspection. The inspector must research available resources to become familiar with the facility's hazardous waste activities, regulatory status, the regulatory standards the facility must meet, and health and safety requirements. As appropriate, the following areas must be addressed by the inspector prior to conducting an inspection.

1. File Review - When an inspection is assigned, the inspector must review DTSC's files and the Inspections, Complaints and Enforcement (ICE) database to determine the enforcement and authorization status of the operator. For hazardous waste transporter inspections, the inspector must determine the transporter's registration status by referencing the Hazardous Waste Tracking System (HWTS), a current transporter list, or by contacting DTSC's Transportation Section. A current list of registered transporters is available on the Internet at www.dtsc.ca.gov/HazardousWaste/Trans000.cfm

The inspector must review any pending or past enforcement actions taken, and, at a minimum, the most recent inspection report and SOO, SOV or Notice of Violation, if applicable. Any unresolved issues or violations noted in the previous inspection report must be investigated. Copies of applicable authorization and enforcement documents must be obtained for reference during the inspection.

2. Hazardous Waste Tracking System Review - As applicable, the inspector must review facility reports such as "EPA ID Profile" and manifesting reports for inconsistencies, errors and basic information using the HWTS database prior to conducting an inspection. The inspector must verify the accuracy of the profile information obtained from HWTS during the inspection.
3. Regulatory Status - The inspector must review all authorization documents such as permits (including operation plans) or variances to determine current authorization to operate as a transporter; generator; or treatment, storage, or disposal facility. The type of facility establishes the regulatory standards that must be met and determines the criteria used for the inspection.
4. Coordination with Permitting Division - If applicable, the inspector must contact the appropriate DTSC Project Manager to discuss the status of the facility's authorization (permit, permit special conditions, permit modifications, variance, closure activities, etc.). The inspector should request that the Project Manager accompany him or her on the inspection.
5. Coordination of Financial Responsibility Review - Financial responsibility review must be conducted for facilities required to provide financial assurance pursuant to California Code of Regulations, title 22, sections 66264.140 et seq., 66265.140 et seq., or 67800.5. The inspector must complete a Financial Responsibility Review Request Form and coordinate the request with the appropriate financial responsibility analyst.
6. Other DTSC Enforcement Programs - The inspector must consult with other DTSC enforcement programs to determine if there are any pending enforcement actions or unresolved issues associated with the facility.
7. Coordination with Other Agencies - The Certified Unified Program Agency (CUPA) with jurisdiction to administer elements of the hazardous waste program must be contacted prior to the inspection to obtain information about any recent inspections or enforcement actions. The local agency inspector may be invited to accompany DTSC during

inspection, but the inspection should not be postponed if the local agency inspector is unable to attend, unless postponement is approved by the Branch Chief. In addition, other regulatory agencies such as the Regional Water Quality Control Board (RWQCB) may be contacted, as appropriate.

8. Health and Safety Plan - The inspector is responsible for preparing the HARP form for all inspections. The HARP must be based on information obtained from previous inspection reports or research of the facility's business activities. The HARP form must be submitted for approval to DTSC's Regional Industrial Hygienist and the inspector's supervisor at least two days prior to the planned inspection date.
9. Equipment and Supplies - Inspectors must gather all necessary equipment and reference materials needed for the inspection including, but not limited to, personal protective equipment, credentials, camera, film, sampling supplies, statutes, regulations, [checklists](#), forms, and compliance assistance information.

B. Procedures at the Facility

1. Opening Conference

- a. Arrival - Upon arrival at the facility or site, the inspector must identify himself/herself, present his or her credentials and ask to meet with the appropriate person (e.g., the facility manager or environmental coordinator), hereafter referred to as the "operator."
- b. Consent - The inspector must indicate to the operator the nature and of the visit (the purpose e.g., CEI, generator inspection, transporter inspection, etc.). The inspector must explain to the operator that consent to conduct an inspection covers inspecting hazardous waste handling areas, taking photographs, conducting sampling activities, and reviewing and copying documents. The inspector must request and obtain consent to conduct the inspection from the operator before beginning the inspection.

If consent to conduct an inspection is granted, the inspector must specifically note this fact in the inspection report. The notation must include the time at which consent was granted, and name and title or position of the person consenting to the inspection.

If consent is denied or withdrawn at any time, the inspector must leave the facility, notify his or her supervisor, and obtain an inspection warrant. If consent to conduct an inspection is denied or withdrawn,

the inspector must specifically note this fact in the inspection report. The notation must include the time at which consent was denied or withdrawn, and name and title or position of the person denying or withdrawing consent to conduct the inspection.

There are specific procedures and criteria that must be followed to obtain a warrant (See Enforcement forms ENF 60, 61, 62 and 63, located on DTSC's □ drive at t:\forms\enf). The Office of Legal Counsel and Investigations, or the District Attorney's Office will assist as necessary with the preparation of warrants. If the inspector expects consent to be refused, he or she may make advance preparations for obtaining a warrant.

An inspection warrant requires 24 hours notice to the operator, unless the notice period is waived by a court.

- c. Documents - If applicable, at the beginning of the inspection, the inspector should supply the operator with a list of documents (e.g., manifests, inspection logs, training records, contingency plan, etc.) that need to be made available for review following the walkthrough portion of the inspection. The inspector should not discuss any suspected violations resulting from pre-inspection preparation until those suspected violations have been investigated in the inspection process. The inspector should request a copy of the current site map. The inspector should refer the operator to DTSC's website at www.dtsc.ca.gov to obtain copies of the current Inspection Guidance Checklist and appropriate inspection [checklists](#) as an aid for future self-inspection.
- d. Verification of Operations - The inspector must discuss, with the operator, hazardous waste activities, facility operations, and information obtained from HWTS to determine if there are discrepancies between information provided by the operator and DTSC or other agency files or databases. If there are discrepancies between information obtained from HWTS and information provided by the operator, the inspector must refer the operator to DTSC's Generator Information Services Section for correction of those discrepancies. The inspector must note all discrepancies in the inspection report and notify DTSC's Permitting Division or other agencies of those discrepancies, as appropriate.

- e. Health and Safety - Prior to conducting a walkthrough of the facility, the inspector must discuss with the operator the facility's health and safety requirements. The inspector must comply with all reasonable security, safety, and precautionary measures specified by the operator. The inspector must adhere to the approved HARP form for the site and must use the appropriate level of personal protective equipment (PPE).
- f. Taking Photographs - If the operator refuses to allow the inspector to take photographs, the inspector must end the inspection and obtain a warrant as described above. Under no circumstances should the inspector surrender his or her camera or film to the operator.

If the inspector believes that the inspection is likely to result in an enforcement action or DTSC's files do not already contain adequate photographs of the facility, the inspector should take several photographs of the facility showing its layout, condition, and the location of all hazardous waste handling areas. If using a camera with dating capability, the inspector must verify that the camera is set to the correct date prior to taking photographs. The inspection report, which is normally sent to the operator within 60 days of the inspection, must contain copies of photographs taken during the inspection. Photographs can be sent attached to an addendum report (Appendix C) if they are not ready at the time the inspection report is sent to the facility.

2. Walkthrough

- a. General - The inspector should determine in advance the order in which hazardous waste units, activities, or processes will be inspected. During a CEI, the walkthrough must include regulated hazardous waste units, and any other areas of concern. The inspector may reference the Inspection Guidance Checklist and appropriate [inspection checklists](#) during an inspection. The inspector must investigate whether violations identified in any previous inspection reports and/or enforcement actions have been corrected.

When there are several units performing the same type of hazardous waste activity and the facility has a good compliance history, the inspector may inspect a representative number of those units; however, at least one of each type of unit must be inspected. The visual inspection of each unit or area should include an assessment of potential major problems, such as releases or leaking containment systems, improper storage of incompatible wastes, or changes from past operating conditions.

Based on the observations made during the walkthrough, the inspector should determine which documents to concentrate on, such as weekly inspection reports, manifests, or training records. For example, if numerous container violations are observed, it is logical to suspect that container inspections and training may be inadequate.

The inspector should identify waste minimization opportunities such as housekeeping, segregating waste streams, or recycling that could reduce hazardous waste generation. The inspector should refer the operator to DTSC's website at www.dtsc.ca.gov/Pollutionprevention/index.html for hazardous waste source reduction information and compliance assistance information (fact sheets, guides, [checklists](#), etc.). The inspector may also refer the operator to the regional Public and Business Liaison (formerly Duty Officer) or to the Office of Pollution Prevention and Technology Development for further assistance.

- b. Limited Inspection Termination - If, during the course of conducting a limited inspection, the inspector observes violations outside the scope of the limited inspection, the inspector must investigate and document those violations as well. The inspector must inform his or her supervisor of the change in inspection approach and of all violations observed as soon as possible.
- c. Proving Violations - The inspector must identify all violations and Prove them by documenting observations, documenting discussions, obtaining copies of records, obtaining samples, and taking photographs. To ascertain whether a violation has been committed, the inspector needs to analyze the basic elements of each statute or regulation that may have been violated. Each of the individual elements must be supported by evidence to establish that a violation has occurred. Observations by the inspector, admissions or statements by the operator, photographs of the facility or site, and samples taken by the inspector can be used as evidence to prove the elements of the violation.

Each piece of evidence collected by the inspector will contribute to proving the existence or nonexistence of a violation. This is the means by which any alleged violation is established or disproved.

Statements made by the operator and facility employees must be documented in the inspection report if they are relevant to potential violations. As violations are observed, the inspector must discuss

with the operator the regulatory requirements and what is required to correct the violation(s). The inspector must request copies of all documents that support alleged violations. The inspector must note any efforts made by the operator to comply.

At a business where parties may be difficult to locate later, the inspector should attempt to obtain identifying information (name, physical description of the person, driver's license number or date of birth) for any witness or person responsible for any violation.

- d. Sampling to Document Violations - Sampling results may be the best evidence that a substance is a hazardous waste; however, sampling is time-consuming and costly for DTSC. It is important to balance the cost versus the benefit in deciding whether to sample. If the inspector determines that sampling is necessary, split samples must be provided to the operator upon request. The Hazardous Materials Laboratory (HML) User's Manual should be referenced for sampling guidelines and information on the efficient use of laboratory services.

The inspector must use appropriate sampling methods. For any sampling activity, the inspector must, to the extent possible, coordinate with HML and the inspector's supervisor for technical support and to ensure adequate laboratory support in advance of the sampling event. The inspector should consult with IHFSS to determine whether there is a need to have industrial hygiene support when conducting sampling.

If sampling cannot be performed immediately due to lack of personnel or equipment, the inspector may quarantine hazardous wastes or materials reasonably suspected to be hazardous wastes, in accordance with the Policy and Procedure for Implementing Quarantine Authority, [EO-02-002 PP](#).

The primary reasons for sampling are to determine whether a waste is a hazardous waste and to determine whether hazardous constituents have been released into the environment. Training, experience, and good judgment on the part of the inspector will help to determine when and where to sample. The following questions may also help determine when sampling is appropriate.

- Is there sufficient evidence that a waste is hazardous without sampling to prove that the waste is hazardous? If yes, don't sample.

- Will sampling help prove illegal activity or a serious violation?
If yes, sample.
 - Is the potential violation likely to be prosecuted criminally?
If yes, sample.
 - Is the potential violation one that threatens public health or the environment? If yes, sample.
 - Is the potential violation a minor violation? If yes, don't sample.
3. Document Review - The level of document review depends on the type of inspection and the site's compliance status. For CEIs at permitted facilities, a significant portion of all hazardous waste documents and operating records must be reviewed. As appropriate, a representative number of documents such as manifests, manifest discrepancy reports, bills of lading, land disposal restrictions (LDR) notifications, exception reports, import/export reports, contingency plan, training plan and records, incident reports, waste analysis plan and records, operation plan, inspection records, tiered permitting applications and authorization letter, annual/biennial reports, Senate Bill 14 plans, closure cost estimates and updates, permit (Part A and B), tank and/or containment certifications, variances, recycling records, or any other records relating to the management of hazardous waste must be reviewed.

The inspector must summarize the findings for all documents reviewed, and provide an explanation for any documents that were not reviewed (not applicable, not available, etc.). The inspector must determine the number of documents to review using his or her judgment considering the size and complexity of the facility. The facility's hazardous waste processes should be examined and compared to the approved operation plan. Documents pertaining to the management of hazardous waste should be available on-site. Document review for facilities operating under interim status must be thorough, because those documents are not approved by DTSC prior to commencement of operations. If an interim status facility has changed its process or operations, the operation plan must be evaluated to determine whether it was appropriately updated to reflect the changes.

For facilities with good compliance history or low risk to public health or the environment, a limited sample of each type of document may be reviewed when conducting a full CEI. Again, the inspector must exercise his or her judgment and experience in determining the number of records to be reviewed. The number of records reviewed as a percentage of the total records available will be highly dependent on the size and complexity of the facility.

At a minimum, the reduced document review would include the following level of record review, if appropriate for the type of facility:

- Operating Record - The inspector must follow at least one specific waste stream that was received or managed and determine its final disposition based upon the information in the operating record.
- Waste Analysis Records - The inspector must select at least one specific waste and determine if that waste was tested, the characteristics for which it was tested, the test methods used, the sampling methods used, and the frequency of analyses. For off-site facilities the inspector must review the waste analysis plan, analytical results and profiles that generators have supplied, and review how the off-site facility has implemented its procedures to control the movement of wastes within the facility.
- Training Records - The inspector must select the training records for at least one hazardous waste employee to determine whether annual refresher training was conducted. The inspector must also review the training records for a new employee (less than one year with company) if available, to determine whether training was received within the first six months of employment.
- Closure/Post-Closure Documents - The inspector must review the facility's most recently approved closure/post-closure plan and cost estimate to determine whether they are complete and accurately reflect the facility's current hazardous waste activities.
- Contingency Plan and Implementation Records - The inspector must check the contingency plan's list of emergency coordinators, and their respective phone numbers and addresses to determine if these items are current. The inspector must also check the operating record for incident reports to determine whether the contingency plan was implemented, whether appropriate actions were taken, and whether notification reports were submitted.
- Inspection Records - The inspector must review inspection records for the prior week and at least another one-week time period since the last DTSC or CUPA inspection to determine whether regular inspections were conducted by the facility, results documented properly, and problems resolved.

- Tank Systems - If the facility manages hazardous wastes in tanks, the inspector must determine whether the facility has installed secondary containment. The inspector must review integrity assessment certifications and records, as appropriate.
- Manifest and Land Disposal Restrictions Records - The inspector must review a representative number of manifests and LDR notifications and certifications prepared since the last inspection for proper completion, use and maintenance.

Copies of documents that establish violations must be obtained for inclusion in the inspection report regardless of the type of inspection. If a facility is also a generator and a generator inspection is being conducted as part of a facility inspection, documents that generators are required to have must be reviewed for compliance as part of a CEI. The inspector must determine if the generator prepared a waste minimization plan and other documents as required.

4. Summary of Violations - At the conclusion of the inspection, the inspector must complete and give to the operator a written SOO if no violations were observed or an SOV for any alleged violations (Appendix D). Minor violations corrected during the inspection must be documented in the Violations and Narrative of Observations sections of the inspection report, not the SOV.

For each violation, the inspector must cite the statute, regulation, permit section, variance section, or enforcement order section that was violated and describe the violation by referencing language from the provision cited. In a separate paragraph, the inspector must state the actions necessary to correct each violation. The inspector must discuss the SOV with the operator.

5. Discussion with Facility Operator - The inspector must discuss all violations, observations, and unresolved issues with the facility operator. If the operator provides convincing information or evidence that an apparent violation did not occur and the inspector concludes that it is not a violation, it must be deleted from the SOV.

If there are any violations observed, other than minor violations corrected during the inspection, the inspector must describe the appropriate enforcement process and inform the operator that DTSC may pursue enforcement action. The inspector must inform the operator that a copy

of the inspection report will be sent to the facility within 60 days of the inspection, that the operator may request a meeting to discuss the violations and proposed corrective actions described in the report, and that the operator will be required to submit a written response to DTSC describing the corrective action(s) taken.

If there are any issues that require further investigation, the inspector must discuss the issues with the operator and document the issues in the SOO. The inspector must inform the operator that additional violations may be identified after pending issues are resolved. If no violations were observed, the SOO must indicate that no violations were observed during the inspection. The inspector must provide the SOO to the operator at the conclusion of the inspection.

The inspector must inform the operator of any waste minimization opportunities observed and give the operator any relevant compliance assistance literature or refer the operator to the regional Public and Business Liaison or to the Office of Pollution Prevention and Technology Development for further assistance.

C. Post-Inspection Procedures

1. Brief Supervisor - The inspector must, at the earliest opportunity, brief his or her supervisor, concerning the results of the inspection, including unresolved issues.
2. Post-HARP - The inspector must complete a Post-HARP form within five days after completing an inspection, and submit copies to the regional industrial hygienist and the inspector's supervisor.
3. Write Observations - The inspector must begin to write the Narrative of Observations section of the inspection report within one week after completion of the inspection visit.
4. Photographs - Film must be processed promptly after the inspection. If no major violations were found, and if no enforcement action is planned, the inspector must obtain double copies of all photographs taken during the inspection. If enforcement action is anticipated, the inspector must obtain at least three copies of all photographs for an enforcement package.

Digital pictures should be printed promptly after the inspection. The inspector must not alter digital pictures or change the name of the original digital picture file.

Photographs and digital prints (printed for mounting) must be identified with the date of the inspection (if not date-stamped by the camera), the name of facility, signature or initials of the photographer, and a brief caption identifying specifically what the photograph or digital print depicts. A map or sketch showing the location at the facility and the direction from which the photographs were taken may also be included, where appropriate. The inspector must properly identify and group negatives together by inspection and place each group of negatives in a separate negative holder. All photographs and digital prints must be given to the inspector's supervisor with the inspection report.

A copy of photographs and/or digital prints taken at the facility must be provided to the owner or operator of the facility as part of the inspection report.

5. Inspection Report - The inspector should submit a final draft of the inspection report with all attachments and associated cover letter (Appendix B) to his or her supervisor within 40 days of the last day of the inspection. Inspection reports should be reviewed and approved by the supervisor within 50 days of the last day of the inspection. The amount of detail in an inspection report should be proportional to the complexity of the inspection and the number and significance of the violations found.

All violations described in the SOV should be cross-referenced in the inspection report. All violations corrected by the facility during an inspection must be noted in the inspection report.

By law, DTSC is required to provide a copy the inspection report to the facility owner or operator within 65 days from the date of the inspection [Health & Saf. Code, sec. 25185 (c)(2)(A)]. As a matter of policy, and as noted elsewhere in this document, DTSC will send the report out within 60 days from the date of inspection. For all inspections, the last day of inspection will constitute the date of the inspection.

If sampling or laboratory results are not available at the time that the inspection report is prepared, the inspector must state so in the report. Those results must be provided to the operator in an addendum report within ten working days of their receipt by the inspector. If additional violations are determined based on the sampling results, a cover letter detailing the additional violations and required corrective actions must be prepared and sent to the facility with the addendum report.

The full inspection report must be prepared for RCRA inspections of facilities receiving Comprehensive Environmental Response Compensation, and Liability Act of 1980 (CERCLA) waste (i.e., “off-site rule” facilities), and CEI inspections. A streamlined inspection report may be prepared for limited RCRA or State CEI inspections, re-inspections, compliance initiative inspections, generator inspections, follow-up inspections, and enhanced surveillance inspections, as appropriate. An inspector can generate a streamlined inspection report by omitting unnecessary sections from the full inspection template. An inspection report needs to adequately document and support the results of the inspection.

6. Field notes - All relevant information from field notes must be included in the inspection report. After the inspection report is finalized, field notes, [checklists](#), and drafts of the inspection report should be discarded.
7. Tracking - The inspector must complete the Inspection Evaluation Form within three working days after the inspection. If violations are found, the Violation and Enforcement Form must also be submitted. These data entry forms may be obtained from the inspector’s supervisor. The completed forms must be submitted to the inspector’s supervisor.
8. Sending Inspection Report to Facility - Within five days after the supervisor’s approval of the report, and no later than 60 days from the date of the inspection, the inspector must send a copy of the inspection report to the operator. The report must contain all pertinent information, including documentation, sample results and photographs. To save on copying and mailing costs, attachments that are copies of documents that were provided by the facility during the inspection may be omitted from the copy of the report sent to the facility. If the operator requests copies, they must be provided.

The inspector must send a cover letter (Appendix B) with the report, describing the operator's rights and responsibilities under Health and Safety Code section 25185(c). The cover letter informs the operator that the operator must submit a response to the inspection report within a specified time period and that the operator may request a meeting with DTSC to discuss any questions, concerns, or comments the operator may have regarding the inspection report.

If the Branch Chief makes a written determination to the Division Chief that disclosure of the information will result in a substantial probability of destruction of evidence, intimidation of witnesses, or other obstruction of justice; the inspection report or portions thereof may be withheld in criminal or other ongoing investigations.

9. Report of Violation - Within 30 working days from the date of receipt of the operator's response to the inspection report, the inspector must issue a Report of Violations if DTSC determines that the violation(s) still exist, the corrective action taken or proposed by the operator is inadequate, or the operator contests the violation(s) [Health & Saf. Code, sec. 25185 (c)(3)].

D. Confidentiality

1. Documents Associated with an Enforcement Action - Preserving the confidentiality of documents related to enforcement actions is important; however, not all documents are confidential. See Public Records Policy and Procedures [EO-95-001](#), and/or subsequent amendments thereto for more information.

Documents obtained in the course of an investigation that are not part of the inspection report are confidential. These documents are not subject to disclosure under the Public Records Act because they are records pertaining to pending litigation and because they comprise the record of an investigation compiled for law enforcement purposes [Gov. Code, sec. 6254(b) and (f)]. After any litigation is complete or the case is settled, these documents may become public records.

2. Draft Documents - Draft documents are confidential under the Public Records Act, pursuant to Government Code section 6254(a). Documents lose their exemption from public disclosure when the documents are finalized. Draft copies must be disposed when the document is finalized. See Public Records Policy and Procedures [EO-95-001](#), and/or subsequent amendments thereto for more information.
3. Attorney-Client Privilege - Attorney-client communications are not discoverable, and are exempt from disclosure under the Public Records Act. Evidence Code section 954 sets forth the attorney-client privilege. See Public Records Policy and Procedures [EO-95-001](#), and/or subsequent amendments thereto for more information.

Communications to and from attorneys in the Office of Legal Counsel and Investigations or the Office of the Attorney General, must be marked "confidential" or "attorney-client privilege," and must be kept in a confidential file. Documents subject to the attorney-client privilege remain confidential even after enforcement action is completed.

4. Attorney Work Product Doctrine - The "work product" of an attorney is not discoverable, and is exempt from disclosure under the Public Records Act. Documents protected by the attorney work product doctrine must be stamped "confidential" or "attorney work product" and must be kept in a confidential file. Attorney work product documents remain confidential, even after enforcement is completed. See Public Records Policy and Procedures [EO-95-001](#), and/or subsequent amendments thereto for more information.
5. Trade Secrets - "Trade secrets" are confidential. Trade secret information may be oral, in documents received from the operator, or in photographs. Within ten days of receipt of the inspection report, the operator may submit a letter to DTSC identifying trade secret information revealed in the inspection report, and request that such information be withheld from public disclosure.

CONTACT:

Hazardous Waste Management Program
Statewide Compliance Division
Department of Toxic Substances Control
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This policy and procedure is intended to provide guidance only. The policy and procedure does not replace or supersede relevant statutes and regulations. The information contained in this policy and procedure is based upon the statutes and regulations in effect as of the date the policy and procedure was signed. Interested parties are advised to keep apprised of subsequent changes to relevant statutes and regulations.

This policy and procedure expires five years from the date of signature.

[May 2, 2003]

Date

[originally signed by]

Edwin F. Lowry

Director

Department of Toxic Substances Control

INSPECTION REPORT INSTRUCTIONS

The amount of detail in an inspection report must be in proportion to the complexity of the inspection and the number and significance of the violations found.

I. General Information

- Facility Name
Use the complete name of the facility or business. If the site is not a business, use the best description to identify that particular site.
- Facility Address
Use the business address. If there is no business address, then use the site location. If the facility's mailing address is different, list it also.
- Facility Telephone Number
List the facility telephone number.
- Identification Number (ID) Number
Use the identification number listed in the Hazardous Waste Tracking System (HWTS). If the facility or site does not have a number, then indicate "No ID Number."
- Facility Type
Storage, treatment, disposal facility, generator, transporter, or other.
- Regulated Units
Type and number of regulated units at the facility.
- Waste streams
List the wastes handled, including their respective quantities and properties. Describe whether each waste is RCRA or non-RCRA.
- Regulatory Status
Permitted, interim status, tiered permitting, generator, variance, illegal operator, other.
- Inspected By
List name(s) of the inspector(s).
- Date of Inspection
List date(s) inspection was conducted.

- Type of Inspection
Indicate type of inspection (e.g., CEI, Limited, Transporter, Generator, etc.).
- Facility Representative
List all other persons present during the inspection, and their respective positions and/or titles.
- Type of Business
State the type of business (e.g., military base, transporter, solvent distributor).
- Owner/Operator and Management
Describe who owns and operates the facility and/or site. List the names of people directly responsible for hazardous waste management. Different entities may own the facility, the business, and/or property on which the facility is located, or the operator may rent the facility. List all owners and operators. The owners and operators may be corporations, partnerships, or individuals. If it is a corporation, list the State of incorporation, which can be obtained from the Secretary of State.

II. Consent

Document the name and title of the company representative that granted or refused consent. Document the time at which consent was granted or refused.

III. Background

- A general description of the business.
- A general description of the activities conducted at the facility.
- The inspector must provide quantitative data such as number and volume of containers, tanks, sumps, and other equipment.
- A physical description of the site, including size and surrounding land use.
- The age and size of the business.
- Whether the inspected facility is the only location of the business or if the business operates at other locations as well.
- A brief summary of previous contacts with the facility and pertinent historical information.
- A list of inspections during the previous five years, including:
 - date;
 - number and type of violations;
 - enforcement action taken; and
 - results

- A list of any other environmental agencies that regulate the facility, the permit status of the facility with the other agencies, and any pending enforcement actions brought against the facility by other agencies.
- Other information as appropriate.

IV. Documents Reviewed

As appropriate, a representative number of the following documents must be reviewed:

Manifests, manifest discrepancy reports, bills of lading, land disposal restriction notifications, exception reports, import/export reports, contingency plan, training plan and records, incident reports, waste analysis plan and records, operation plan, inspection records, tiered permitting applications and authorization letter, annual/biennial reports, Senate Bill 14 plans, closure cost estimates and updates, permit (Part A and B), tank and/or containment certifications, variances, recycling records, or any other record relating to the management of hazardous waste.

The inspector must document the findings for all documents reviewed and document an explanation (not applicable, not available, etc.) for documents not reviewed.

V. Narrative of Observations

The inspector must describe observations, occurrences, and information obtained during the inspection. This must include a brief chronological narrative of the inspection, additional safety measures the facility may have required of the inspector, indications of potential or actual violations by other companies (transporters, generators, or facilities), possible conflicting information in a permit, or any other information to be included in the report. It is not necessary to repeat observations that are noted elsewhere in the report.

VI. Violations

Is the Summary of Violations attached –Yes or No.

If no violations were detected or violations cannot be determined until sample results or other evidence are received, then the inspector may state as follows:
1) "No violations observed as a result of this inspection"; or 2) "Violation

determination pending ..." **Do not make a statement that the facility has no violations.**

VII. Sampling Activities

The inspector must adequately describe all sampling activities during the inspection. Indicate if split samples were requested and given to the operator.

VIII. Discussion with Operator

The inspector must summarize the operator's response to the inspection and alleged violations. If the operator refuses to correct the violations, the inspector must document the stated reasons. The inspector must indicate both negative and positive responses on the part of the operator during all discussions.

If a SOV was issued at the time of the inspection, the inspector must state whether the operator disagreed with any of the alleged violations.

The inspector must summarize any issues that remain unresolved. For each issue, the inspector must indicate the known facts, the questions, and the reason(s) why the issue is not resolved and appropriate follow-up actions.

IX. Attachments

Any attachments must be preceded by a List of Attachments indicating the attachment number as it is referenced in the inspection report, its title or description, and the number of pages in the attachment. Items that must be attached to the inspection report include the Summary of Violations, Hazardous Materials Sample Analysis Request, sample analysis reports and summaries, sample receipts, photos, logs, drawings, maps, diagrams, and copies of operating records/documents.

The inspection report must be completed, and reviewed and approved by the supervisor within 50 days from the last day of the inspection. The inspector must sign and date the inspection report on the date it is finalized.

INSPECTION REPORT

I. GENERAL INFORMATION

Facility Name:
Facility Address:
Telephone Number:
ID Number:
Facility Type:
Type of Business:
Waste streams:
Regulated Units:
Regulatory Status:
Owner/Operator:
Facility Representative(s):

Type of Inspection:
Inspected By:
Date(s) of Inspection:

II. CONSENT

Consent to conduct an inspection includes: inspecting hazardous waste handling areas, taking photographs, conducting sampling activities, and reviewing and copying documents.

Consent given by
(name, title, and time):

Consent refused by
(name, title, and time):

III. BACKGROUND

IV. DOCUMENTS REVIEWED

V. NARRATIVE OF OBSERVATIONS

VI. VIOLATIONS

Summary of Violations Attached? Yes ? No ?

VII. SAMPLING ACTIVITIES

VIII. DISCUSSION WITH OPERATOR

IX. ATTACHMENTS

Inspector (Print Name and Title)

Inspector (Signature)

Date

COVER LETTER FOR INSPECTION REPORT



Department of Toxic Substances Control

Edwin F. Lowry, Director



Winston H. Hickox
Agency Secretary
California Environmental
Protection Agency

Gray Davis
Governor

(Address block)

Dear _____ :

On (date), the California Environmental Protection Agency, Department of Toxic Substances Control (DTSC), conducted an inspection of (facility name and address). The enclosed report describes the findings of that inspection, including all violations and any actions that should be taken by the facility to correct the violations.

You are required to submit a written response to DTSC within 60 days describing the corrective actions that you have taken or propose to take to bring your facility into compliance [Health & Saf. Code, sec. 25185(c)(3)]. If you dispute any of the violations, you should explain your disagreement in this written response. The issuance of this letter and report does not preclude DTSC from taking administrative, civil, or criminal action as a result of the violations noted in the report.

All pertinent information derived from the inspection, including documents, photographs, and sampling results, are included as attachments to the report, except copies of documents provided by your facility at the time of the inspection. In order to reduce copying and mailing costs, these have not been returned to you with the report; copies will be provided if you request them. This report will become a public document; you may request that any trade secret or facility security information be withheld from public disclosure. (See Health & Saf. Code, sec. 25173, attached.)

If you wish to assert the trade secret privilege, please provide DTSC specific written answers to each of the following questions within 10 days of receipt of the inspection report:

- To what extent is there knowledge of the information conveyed by the photograph/document outside of your business?
- To what extent is there knowledge of the information conveyed by the photograph/document, by employees and others in your business?

The energy challenge facing California is real. Every Californian needs to take immediate action to reduce energy consumption. For a list of simple ways you can reduce demand and cut your energy costs, see our Web-site at www.dtsc.ca.gov.

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COVER LETTER FOR INSPECTION REPORT

Header
Date
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- To what extent have measures been taken to guard the secrecy of the information?
- Is the information valuable to competitors? If so, why?
- Has there been substantial monetary expenditure in the development of the information?
- Could the information be easily and properly acquired or duplicated by others?

DTSC will review your response to these questions to determine if the information should be treated as trade secret and will notify you of its decision.

If you have any questions regarding this letter, or if you wish to meet with DTSC to discuss any questions or concerns you have with the inspection, the report, the violations, or the required corrective action, please call (inspector name) at (phone number.)

Sincerely,

(Supervisor signature block)

Enclosure

cc: **(inspector)**

COVER LETTER FOR INSPECTION REPORT
(If additional violations are found subsequent to the inspection)



Department of Toxic Substances Control

Edwin F. Lowry, Director



Winston H. Hickox
Agency Secretary
California Environmental
Protection Agency

Gray Davis
Governor

(Address block)

Dear _____ :

On (date), the California Environmental Protection Agency, Department of Toxic Substances Control (DTSC), conducted an inspection of (facility name and address). The enclosed report describes the findings of that inspection, including all violations and any actions that should be taken by the facility to correct the violations.

The following violations which are described in this inspection report, were found subsequent to the inspection and were not listed in the Summary of Violations left with you at the end of the inspection: [List of new violations]

You are required to submit a written response to DTSC within 60 days describing the corrective actions that you have taken or propose to take to bring your facility into compliance [Health & Saf. Code, sec. 25185(c)(3)]. If you dispute any of the violations, you should explain your disagreement in this written response. The issuance of this letter and report does not preclude DTSC from taking administrative, civil, or criminal action as a result of the violations noted in the report. All pertinent information derived from the inspection, including documents, photographs, and sampling results, are included as attachments to the report, except copies of documents provided by your facility at the time of the inspection. In order to reduce copying and mailing costs, these have not been returned to you with the report; copies will be provided if you request them. This report will become a public document; you may request that any trade secret or facility security information be withheld from public disclosure. (See Health & Saf. Code, sec. 25173, attached.)

If you wish to assert the trade secret privilege after you have reviewed the report, please provide specific answers to each of the following questions for each item:

- To what extent is there knowledge of the information conveyed by the photograph/document outside of your business?
- To what extent is there knowledge of the information conveyed by the photograph/document, by employees and others in your business?

The energy challenge facing California is real. Every Californian needs to take immediate action to reduce energy consumption. For a list of simple ways you can reduce demand and cut your energy costs, see our Web-site at www.dtsc.ca.gov.

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COVER LETTER FOR INSPECTION REPORT
(If additional violations are found subsequent to the inspection)

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- To what extent have measures been taken to guard the secrecy of the information?
- Is the information valuable to competitors? If so, why?
- Has there been substantial monetary expenditure in the development of the information?
- Could the information be easily and properly acquired or duplicated by others?

DTSC will review your response to these questions to determine if the information should be treated as trade secret and will notify you of its decision.

If you have any questions regarding this letter, or if you wish to meet with DTSC to discuss any questions or concerns you have with the inspection, the report, the violations, or the required corrective action, please call (inspector name) at (phone number.)

DTSC will review your response to these questions to determine if the information should be treated as trade secret and will notify you of its decision.

Sincerely,

(Supervisor signature block)

Enclosure

cc: **(inspector)**

COVER LETTER FOR INSPECTION REPORT
(No violations discovered during inspection)



Department of Toxic Substances Control

Edwin F. Lowry, Director

Winston H. Hickox
Agency Secretary
California Environmental
Protection Agency



Gray Davis
Governor

(Address block)

Dear _____ :

On (date), the California Environmental Protection Agency, Department of Toxic Substances Control (DTSC), conducted an inspection of (facility name and address). The enclosed report describes the findings of this inspection.

Because no violations were discovered during the inspection, no written response to this letter is required. DTSC appreciates your efforts made to comply with the hazardous waste laws and regulations.

All pertinent information derived from the inspection, including documents, photographs, and sampling results, are included as attachments to the report, except copies of documents provided by your facility at the time of the inspection. In order to reduce copying and mailing costs, these have not been returned to you with the report; copies will be provided if you request them. This report will become a public document; you may request that any trade secret or facility security information be withheld from public disclosure. (See Health & Saf. Code, sec. 25173, attached.)

If you wish to assert the trade secret privilege after you have reviewed the report, please provide specific answers to each of the following questions for each item:

- To what extent is there knowledge of the information conveyed by the photograph/document outside of your business?
- To what extent is there knowledge of the information conveyed by the photograph/document, by employees and others in your business?
- To what extent have measures been taken to guard the secrecy of the information?
- Is the information valuable to competitors? If so, why?
- Has there been substantial monetary expenditure in the development of the information?

The energy challenge facing California is real. Every Californian needs to take immediate action to reduce energy consumption. For a list of simple ways you can reduce demand and cut your energy costs, see our Web-site at www.dtsc.ca.gov.

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COVER LETTER FOR INSPECTION REPORT
(No violations discovered during inspection)

Header
Date
Page

- Could the information be easily and properly acquired or duplicated by others?

DTSC will review your response to these questions to determine if the information should be treated as trade secret and will notify you of its decision.

If you have any questions regarding this letter, or if you wish to meet with DTSC to discuss any questions or concerns you have with the inspection, the report, the violations, or the required corrective action, please call (inspector name) at (phone number.)

Sincerely,

(Supervisor signature block)

Enclosure

cc: **(inspector)**

CONFIRMATION OF RECEIPT OF NOTICE TO COMPLY



Winston H. Hickox
Agency Secretary
California Environmental
Protection Agency

Department of Toxic Substances Control

Edwin F. Lowry, Director



Gray Davis
Governor

(Address block)

Dear _____ :

On (date), the California Environmental Protection Agency, Department of Toxic Substances Control (DTSC), conducted an inspection of (facility name and address). The enclosed report describes the findings of that inspection, including all violations and any actions that should be taken by the facility to correct the violations.

All the violations discovered during the inspection were minor, and DTSC has received your signed Notice to Comply certifying that you have corrected all of the violations. DTSC will not require you to submit an additional written response to this inspection report. DTSC will take no further action in regard to the violations found during this inspection. DTSC may re-inspect your business to confirm compliance with the Notice to Comply.

All pertinent information derived from the inspection, including documents, photographs, and sampling results, are included as attachments to the report, except copies of documents provided by your facility at the time of the inspection. In order to reduce copying and mailing costs, these have not been returned to you with the report; copies will be provided if you request them. This report will become a public document; you may request that any trade secret or facility security information be withheld from public disclosure. (See Health & Saf. Code, sec. 25173, attached.)

If you wish to assert the trade secret privilege after you have reviewed the report, please provide specific answers to each of the following questions for each item:

- To what extent is there knowledge of the information conveyed by the photograph/document outside of your business?
- To what extent is there knowledge of the information conveyed by the photograph/document, by employees and others in your business?

The energy challenge facing California is real. Every Californian needs to take immediate action to reduce energy consumption. For a list of simple ways you can reduce demand and cut your energy costs, see our Web-site at www.dtsc.ca.gov.

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CONFIRMATION OF RECEIPT OF NOTICE TO COMPLY

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- To what extent have measures been taken to guard the secrecy of the information?
- Is the information valuable to competitors? If so, why?
- Has there been substantial monetary expenditure in the development of the information?
- Could the information be easily and properly acquired or duplicated by others?

DTSC will review your response to these questions to determine if the information should be treated as trade secret and will notify you of its decision.

If you have any questions regarding this letter, or if you wish to meet with DTSC to discuss any questions or concerns you have with the inspection, the report, the violations, or the required corrective action, please call (inspector name) at (phone number.)

Sincerely,

(Supervisor signature block)

Enclosure

cc: **(inspector)**

Addendum Reports

Addendum reports must be used to supplement inspection reports. For example, an addendum report would be appropriate to report sampling results, follow-up interviews, enhanced surveillance, and a facility revisit. Because the purpose of a supplementary report is simply to add information to an inspection report that already contains all necessary information, it is not necessary to repeat all of the information in the addendum report.

It is only necessary to complete the information needed to identify the facility (i.e. Company Name, Facility Address, Telephone Number, and Identification Number) and the Type of Inspection (i.e. Addendum) when completing the General Information section for an addendum report. Use the other sections of the inspection report to document additional information, as appropriate.

If additional violations have been determined subsequent to the inspection, those violations and the corrective actions necessary to bring the facility into compliance must be included in the cover letter associated with the addendum report.

Summary of Observations and Summary of Violations Instructions

Summary of Observations

The Summary of Observations (SOO) is used only when there are no violations observed or to document any unresolved issues at the facility or site inspected. It is not used when violations are detected and corrected during the inspection.

The date of the inspection, facility name, facility address, identification number, and county name are written into the blanks available on the form.

The authorized company representative and the inspector must date and sign the SOO. The names and titles must be printed in the spaces provided.

Summary of Violations

The Summary of Violations (SOV) form must be used for violations observed during the inspection, except for minor violations corrected at the time of the inspection. **Minor violations corrected at the time of the inspection must be documented in the inspection report.**

The date of the inspection, facility name, facility address, identification number, and county name are written into the blanks available on the form. The authorized company representative and the inspector must date and sign this page of the SOV. The names and titles must be printed in the spaces provided. If the representative refuses to sign the form, note the refusal on the form and provide the representative with a copy of the Summary.

Section I: Class I Violations/Required Corrective Action

(A Class I Violation is defined in Health & Saf. Code, sec. 25110.8.5)

The inspector must list all Class I Violations in this section. In a separate paragraph for each violation, the inspector must cite the section number of the law, regulation, or permit that was violated. Describe the violation by borrowing language from the section of the law, regulations, or permit that was violated, and include any specific facts to explain what the violation is to ensure that the owner or operator will understand the violation.

For each violation listed, the inspector must provide a separate, brief paragraph describing in detail the actions the operator must take to correct the violation and come into compliance with the law.

Instructions for the Summary of Observations and Summary of Violations

The "Page ____ of ____" is filled out at the bottom right hand side of the form.

If the space on the form is inadequate the Continuation Sheet for Section I: Class I Violations must be used.

Section II: Class II Violations/Required Corrective Action

NOTE: ALL CLASS II VIOLATIONS ARE CONSIDERED MINOR VIOLATIONS UNLESS THEY MEET THE PROVISIONS OF HEALTH AND SAFETY CODE SECTION 25117.6.

In this section the inspector must list all Class II Violations not considered Minor Violations. In a separate paragraph for each violation, the inspector must cite the section number of the law, regulation, or permit that was violated. Describe the violation by borrowing language from the section of the law, regulations, or permit that was violated, and include any specific facts to explain what the violation is to ensure that the owner or operator will understand the violation.

For each Class II violation listed, the inspector must provide a separate, brief paragraph describing in detail the actions the operator must take to correct the violation and come into compliance with the law.

The inspector must identify those violations that are continuing violations by stating the date the violation first occurred and the period of time it continued.

The number of days for correcting the violations listed in "Section II: Class II Violations/Required Corrective Action", is entered in the blank in paragraph 1. This number must be a time that would allow the violator to correct the Class II violations.

The "Page ____ of ____" is filled out at the bottom right hand side of the form.

If the space on the form is inadequate the Continuation Sheet for Section II: Class II Violations must be used.

Section III: Minor Violations/Notice to Comply

(A Minor Violation is defined in Health & Saf. Code, sec. 25117.6)

Minor violations are a subset of Class II Violations. Minor violations are defined in Health and Safety Code section 25117.6(a). Minor Violations do not include knowing, willful, or intentional violations; violations that enable the violator to benefit economically from noncompliance, or any Class II Violation that is chronic violation or that is committed by a recalcitrant violator.

In a separate paragraph for each violation, the inspector must cite the section number of the law, regulation, or permit that was violated. Describe the violation by borrowing language from the section of the law, regulations, or permit that was violated, and include any specific facts to explain what the violation is to ensure that the owner or operator will understand the violation.

The inspector must identify those violations that are continuing violations by stating the date the violation first occurred and the period of time it continued.

For each violation listed, the inspector must provide a separate, brief paragraph describing in detail the actions the operator must take to correct the violation and come into compliance with the law.

The number of days for correcting the violations listed in "Section III: Minor Violations/Notice to Comply," is entered in the blank in paragraph one. This number must be a time that would allow the violator to correct the minor violations and in no case may the time exceed 30 days.

The "Page ____ of ____" is filled out at the bottom right hand side of the form.

If the space on the form is inadequate use a second sheet for Section III: Minor Violations/Notice to Comply

SUMMARY OF OBSERVATIONS

On _____, the Department of Toxic Substances Control (DTSC), California Environmental Protection Agency, conducted an inspection at:

Facility Name: _____

Facility Address: _____

EPA ID Number: _____

County Name: _____

Check box below as appropriate

- ☐ As a result of this inspection, no violations of hazardous waste laws, regulations, and requirements were discovered. DTSC will provide you a complete inspection report within 65 days of the date of this inspection.
- ☐ As a result of this inspection the following issue(s) require additional investigation. DTSC will address all unresolved issues in the inspection report. (Use additional paper as necessary)

Company Representative Accepting Summary
Name

Signature

Title

Date

Department Representative
Name

Signature

Title

Date

SUMMARY OF VIOLATIONS

On _____, the Department of Toxic Substances Control (DTSC), California Environmental Protection Agency, conducted an inspection at:

Facility Name: _____

Facility Address: _____

EPA ID Number: _____

County Name: _____

As a result of this inspection, violations of hazardous waste laws, regulations, and requirements listed on the attached pages were discovered. All violations must be corrected; the actions you must take to correct the violations are listed with each violation. If you disagree with any of the violations or proposed corrective actions listed in this Summary of Violations, you should inform DTSC.

DTSC will mail you an inspection report within 60 days of the date of this inspection. You may request a meeting with DTSC to discuss the inspection, inspection report, or the Summary of Violations. The issuance of this Summary of Violations does not preclude DTSC from taking administrative, civil, or criminal action as a result of the violations noted in the Summary of Violations or violations that have not been corrected within the time provided. A false statement that compliance has been achieved is a violation of the law and punishable by a fine of not less than \$2,000 or more than \$25,000 for each occurrence. DTSC may re-inspect this facility at any time.

Company Representative Accepting Summary	Department Representative
Name _____	Name _____
Signature _____	Signature _____
Title _____	Title _____
Date _____	Date _____

SUMMARY OF VIOLATIONS

Facility Name: _____ Date: _____

SECTION I: CLASS I VIOLATIONS/REQUIRED CORRECTIVE ACTION

SUMMARY OF VIOLATIONS

Facility Name: _____ Date: _____

**Continuation Sheet for SECTION I: CLASS I VIOLATIONS/ REQUIRED
CORRECTIVE ACTION**

Section I: Page__of__

SUMMARY OF VIOLATIONS

Facility Name: _____ Date: _____

SECTION II: CLASS II VIOLATIONS/REQUIRED CORRECTIVE ACTION
(Class II Violations not considered Minor Violations.)

You must correct the following violation(s) within ____ days. Within five working days of achieving compliance, you are required to sign the certification below, and return it to DTSC at the following address:

Section II: Page__of__

I certify under penalty of law that the above corrective actions have been taken and the violations have been corrected. I am aware that these are significant penalties for submitting false information.

Signature _____ Date _____

Title _____

SUMMARY OF VIOLATIONS

Facility Name: _____ Date: _____

**Continuation Sheet for SECTION II: CLASS II VIOLATIONS/ REQUIRED
CORRECTIVE ACTION**

SUMMARY OF VIOLATIONS

Facility Name: _____ Date: _____

SECTION III: MINOR VIOLATIONS/NOTICE TO COMPLY
(Minor Violations not corrected at time of inspection)

You must correct the following violation(s) within _____ days (Not to exceed thirty days). Within five working days of achieving compliance, you are required to sign the certification below, and return it to DTSC at the following address:

Section III: Page__of__

I certify under penalty of law that the above corrective actions have been taken and the violations have been corrected. I am aware that these are significant penalties for submitting false information.

Signature _____ Date _____

Title _____

SUMMARY OF VIOLATIONS

Facility Name: _____ **Date:** _____

Continuation Sheet for SECTION III: MINOR VIOLATIONS/ NOTICE TO COMPLY
